



CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited today with the U.S. Postal Service with sufficient postage as first class mail in an envelope addressed to:
Commissioner for Patents, Washington, D.C. 20231

on

3/30/01
Date

Lisa Andreasen
Lisa Andreasen

Attorney Docket No.
D/A0052Q2

Gp 2644 #4
SS

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of Andre Kempe

Group Art Unit: 2644

Application No.: 09/737,758

Examiner: Not Yet Assigned

Filed: 12/18/00

For: Method and Apparatus for Factoring Finite State Transducers with Unknown Symbols

Commissioner for Patents
Washington, D.C. 20231

Sir:

INFORMATION DISCLOSURE STATEMENT

Pursuant to 37 C.F.R. 1.56 and 37 C.F.R. 1.97, the attention of the Patent and Trademark Office is hereby directed to the reference(s) and information listed on the attached PTO-1449 Form. One legible copy of each is attached to the PTO-1449 Form. It is respectfully requested that said references and information be expressly considered during the prosecution of this application, and that the reference(s) be made of record therein and appear among the "References Cited" on any patent to issue therefrom.

- ☒ 1. This Information Disclosure Statement is being filed (a) within three months of the U.S. filing date or the date of filing a continuing application, **OR** (b) before the mailing date of a first Office Action on the merits in the present application. *No certification or fee is required.*
- ☐ 2. This Information Disclosure Statement is being filed more than three months after the U.S. filing date **AND** after the date of the first Office Action on the merits, but before the mailing date of a Final Rejection or Notice of Allowance. Please debit Xerox Corporation Deposit Account 24-0025 in the amount of \$240.00 in payment of the fee under 37 C.F.R. 1.17(p). *(A copy of this paper is attached.)*
- ☐ 3. This Information Disclosure Statement is being filed more than three months after the U.S. filing date and after the mailing date of the first Office Action on the merits, but before the mailing date of a Final Rejection or Notice of Allowance; **AND**
- ☐ a. I hereby certify that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement.
37 C.F.R. 1.97(e)(1); **(OR)**


RECEIVED

APR 04 2001

Technology Center 2600

Application No. 09/737,758

- ☐ b. I hereby certify that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. §1.56(c), more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. 1.97(e)(2)
- ☐ 4. This Information Disclosure Statement is being filed after the mailing date of a Final Rejection or Notice of Allowance, but before the payment of the Issue Fee. Applicant(s) hereby petition(s) that the Information Disclosure Statement be considered. Please debit Xerox Corporation Deposit Account 24-0025 in the amount of \$130 in payment of the petition fee under 37 C.F.R. 1.17(i)(1) (*A copy of this paper is attached*); **AND**
- ☐ a. I hereby certify that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. 1.97(e)(1); **(OR)**
- ☐ b. I hereby certify that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. §1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. 1.97(e)(2)
- ☐ 5. Per 37 C.F.R. 1.98(c), a concise explanation of the relevance of each of any submitted item that is NOT in the English language is either enclosed herewith, or incorporated in the application specification.
- ☐ 6. An English language version of an above-referenced counterpart foreign application search report is attached.
- ☐ 7. Copies of some or all of the subject references were cited by, or submitted to the Office in related parent Application No. _____, filed _____, which is relied upon under 35 U.S.C. §120. Thus, copies of these references are not attached. 37 C.F.R. §1.98(d).



Thomas Zell

Signature under 37 CFR 1.33 & 34
Registration No. 37,481
Telephone No. 650-812-4282
Date 03/13/2001



| | | |
|--|------------------------------|-------------------------------|
| Form PTO-299 PATENT & TRADEMARK OFFICE US Dept. of Commerce INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary) | ATTY DOCKET NO. D/A0052Q2 | APPLICATION NO. 09/737,758 |
| | APPLICANT Andre Kempe | |
| | FILING DATE 12/18/00 | GROUP ART UNIT 2644 |

U.S. PATENT DOCUMENTS

| EXAMINER INITIAL | DOCUMENT NUMBER | PUBLICATION DATE | NAME OF PATENTEE | CLASS | SUB CLASS |
|---------------------|-----------------|---------------------|------------------|-------|--------------|
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |

FOREIGN PATENT DOCUMENTS

| | COUNTRY | DOCUMENT NUMBER | PUBLICATION DATE | NAME OF PATENTEE OR APPLICANT | TRANSLATION Y/N |
|--|---------|-----------------|---------------------|-------------------------------|--------------------|
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |

OTHER DOCUMENTS (Including Author (in CAPS), Title, Publication Date, Pages, etc.)

| | |
|--|---|
| | ELGOT C.C ET AL. "On Relations Defined by Generalized Finite Automata," IBM Journal of Research and Development, pp. 47-68, 1965. |
| | KEMPE, ANDRE "Reduction of Intermediate Alphabets in Finite-State Transducer Cascades," 7 th Conference on Automatic Natural Language Processing (TALN), Lausanne, Switzerland; September 16-18, 2000. |
| | KEMPE, ANDRE "Factorization of Ambiguous Finite-State Transducers," Pre-Proceedings of the 5 th International Conference on Implementation and Application of Automata (CIAA), p. 157-164, London, Ontario, Canada, 2000. Final Proceedings in: Springer-Verlag Lecture Notes in Computer Science. |
| | ROCHE E. ET AL. "Introduction", Finite-State Language Processing, MIT Press, Cambridge, MA, USA, pp. 1-66, 1997. |
| | SAKAROVITCH, JACQUES "A Construction on Finite Automata that has Remained Hidden," Theoretical Computer Science, 204:205-231, 1998. |
| | SCHUTZENBERGER, MARCEL PAUL "A Remark on Finite Transducers," Information and Control, 4: 185-187, 1961. |
| | |
| | |
| | |

RECEIVED

EXAMINER

DATE CONSIDERED

Examiner: Initial if citation considered, whether or not citation is in conformance with M.P.E.P. 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Technology Center 2600